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# Dean's Directive No. 6/2022

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Title:	<b>Project activities within the Faculty of Humanities of Charles University</b>	
To implement:	-	
Date of effect:	<b>1 April 2022</b> for projects starting on or after the date of entry into force of this directive <b>1 June 2022</b> for projects started before 1 April 2022 Projects started before the entry into force of this directive pursuant to Article 8(4)(a) and scheduled <b>to be completed by 30 June 2022 are exempted from the directive.</b>	
Annexes:	<u>Annex 1:</u>	Project proposal form ( <i>only in Czech</i> )
	<u>Annex 2:</u>	Project line budget form ( <i>only in Czech</i> )

## Project activities within the Faculty of Humanities of Charles University

### Article 1: Introductory provisions

In connection with the implementation of project activities within the Faculty of Humanities of Charles University (hereinafter referred to as the "Faculty"), I issue these binding rules for the submission and implementation of projects, including the determination of related processes, rights and obligations of the Faculty employees concerned.

### Article 2: Basic concepts

1. **Project activity** within the Faculty is an activity carried out according to a predetermined, time-defined, conceptual and technical plan (project), financed from more than 50% from non-faculty financial sources (i.e. from university programmes, national and foreign grants, EU financial mechanisms, donations from public and private entities).
2. **The project plan** is a brief structured annotation of a research or non-research project, containing relevant information on the planned submission of the application for support (project application).
3. **A non-research project** is a conceptual and technical plan of activity that does not meet the definition of research and experimental development (hereinafter referred to as "R&D"), i.e. teaching, development and other projects, including projects where the achievement of R&D results is not the primary objective (e.g. academic staff mobility projects).
4. **A research project** is a conceptual and technical plan of activity devoted to creative and systematic work that fulfils the definition of R&D, i.e. that is carried out in order to increase the level of knowledge, including knowledge of humanity, culture and society, and to propose new ways of applying available knowledge.
5. **Basic research** is experimental and theoretical work undertaken primarily for the purpose of obtaining new knowledge about the fundamental principles of phenomena or observable facts, which is not primarily aimed at any particular application or use in practice.
6. **Applied research** is original research focused primarily on a specific practical aim or objective, carried out with the aim of obtaining new knowledge for implementation in practice. In EU terminology, applied research means industrial research, experimental development or a combination of both (including in the case of humanities and social sciences applied research).
7. **Experimental development** is systematic work, drawing on knowledge from research and practical experience and producing further knowledge, aimed at creating new products or processes or improving existing products or processes.
8. **Contract research** is the provision of a research service by a research organisation to an undertaking (EU terminology includes a legal entity, regardless of whether it is set up for profit), which usually sets the terms of the contract, owns the results of the research activity and bears the risk of failure. Contract research must be carried out
  - a. at market price;
  - b. if a market price cannot be determined, then at a price reflecting the full cost of the service and including a customary margin.

9. **A candidate** in the context of this directive is a legal entity that applies for support for research and non-research projects by submitting a project proposal. In the case of a faculty, the applicant is Charles University (hereinafter referred to as 'the University') as the holder of legal personality, represented by the Rector of the University, or in specified cases by the Dean of the Faculty on the basis of authorisation by the Rector of the University. The applicant, through its representative, provides a guarantee of the professional quality of the project and the professional competence of the applicant to implement the project in the conditions set by the provider.
10. **The proponent** in the context of this directive is the natural person who is responsible to the applicant for the project design, its professional level, cost-effectiveness and the adequacy of the project budget. The proposer must be in an employment relationship with the applicant, or such a relationship must have been established no later than the date of the start of the project.
11. **Beneficiary** in the context of this directive means the applicant drawing on the support provided. The main beneficiary is the applicant in whose favour the decision to grant aid has been taken and with whom the provider has concluded the aid contract. Additional participant means a legal entity which participates in the project on the basis of a contractual relationship concluded with the main beneficiary and which draws on a specified part of the aid granted.
12. **Grant** in the context of this directive means financial support provided for the project by the provider on the basis of a grant agreement or grant decision.
13. In the context of this directive, **the grant administrator** is the natural person who is responsible to the beneficiary for the proper implementation of the project (research or non-research), i.e. for the fulfilment of the project objectives, the conditions set by the support provider, the management of the funds earmarked for the implementation of the project (i.e. funds equal to 100% of the project costs) and for compliance with generally binding legal regulations and internal regulations of the university or faculty. In terms of project management terminology, the function of grant administrator corresponds to that of project manager, which is possible and desirable in different types of projects. The function of grant administrator is performed by the person in charge on the basis of an employment relationship for the duration of the project.
14. In the context of this directive, **an expert guarantor** is a natural person responsible to the beneficiary (and the grant administrator) for the technical level of the project on the basis of an employment relationship, usually the proposer. The function of expert guarantor is compatible with that of grant administrator in justified cases.
15. **A lead department** in the context of this directive is a department of the Dean's Office providing support and ensuring control and record-keeping activities for projects falling under the department. The lead departments within the Faculty are:
  - a. Research Administration Office,
  - b. Development Administration Office.

### Article 3: Organisational arrangements for project activities

1. Research and non-research projects (project teams) are classified under the relevant departments or faculty units. In the case of a multidisciplinary project, the person of the grant administrator or supervisor and his/her placement in the organisational structure of the faculty determines the placement.
2. The submission of the project plan for consideration by the Dean of the Faculty is approved by the head of the relevant lead department and the head of the relevant department or unit.
3. The Dean approves the project plan or the project application for support.
4. The project management is entrusted to the grant administrator.
5. The grant administrator is responsible to the beneficiary for the proper performance of the project (material and financial) within the scope of the grant agreement, the rules of the grant, generally binding legal regulations and the internal regulations of the University and the Faculty. The grant administrator has a duty of information towards the head of the department or unit concerned.
6. The professional guarantor is responsible to the grant administrator for the professional level of the project and manages the members of the project team professionally (i.e. assigns work tasks, checks the outputs of the work activity).
7. The focal points provide project teams with project support, perform record-keeping tasks and control the management of funds provided for project activities.
8. The Science and Research Department is the lead department for projects supported by
  - a. from university programmes of institutional support for R&D (COOPERATIO, UNCE, PRIMUS, SVV, GA UK, JUNIOR, etc.);
  - b. from non-university grant titles (GA CR programmes, European and international programmes, e.g. the Horizon 2020 framework programme, etc.).
 An overview of the relevant grant titles is regularly updated at <https://veda.fhs.cuni.cz/FHSVEDA-1.html> .
9. The Development Department is the focal point for projects supported by
  - a. from university grants (START);
  - b. from non-university grant titles (TAČR, NAKI, AZV, 4EU+, operational programmes, e.g. OP JAK, OP PPR, EEA Funds, ERASMUS+).
 An overview of the relevant grant titles is regularly updated at <https://fhs.cuni.cz/FHS-477.html> .

### Article 4: Contracting of project activities and circulation of documents

1. By signing the contractual act on the provision of financial support, the university/faculty undertakes, as the beneficiary, to comply with all the conditions of the project set by the provider of the support.
2. Only the beneficiary's representative is authorised to sign contractual acts relating to the financial support granted for the project activity (see Article 2(11)).
3. The representative of the beneficiary concludes, on the basis of the proposal of the proposer/grant administrator, forwarded through the lead department, other contractual acts related to the project solution, e.g. agreements on cooperation on the project solution, agreements on the use of research results between the main beneficiary and another participant in the project, agreements on the implementation of results with the application guarantor, licence agreements, contracts for consideration, which are awarded public procurement contracts for supplies and services, if the value of its subject of performance is 50 001 CZK excluding VAT or higher, employment acts, etc.
4. The storage and archiving of original contractual acts is governed by the Dean's directive regulating the procedure for storing documents and files in the Registry, viewing and lending. Copies of contractual acts shall be forwarded by the lead department to the grant administrator and, in the case of contracts containing financial benefits, also to the Faculty's economic department.
5. The grant administrator submits through the lead agency to the beneficiary's representative for approval and possible signature reports informing about the progress of the project (monitoring, interim, partial, final, etc.), according to the requirements and instructions of the provider, at least 10 working days before the deadline for submission of these reports set by the provider, which deadline may be optionally set by the respective lead agency according to the specific subsidy/grant title. If information on the financial management of the grant is also a required part of the report, the financial part of the report may be submitted to the Faculty's economic department for review via the lead department. Copies of the reports are kept with the grant administrator, the original reports are kept at the lead department.
6. The documentation related to the implementation of the project activity is kept with the grant administrator for the duration of the project (originals or copies of documents). The rules for document retention are governed by the Dean's directive regulating the procedure for storing documents and files in the filing cabinet, viewing and borrowing; the Dean's directive regulating the circulation of documents and the Dean's directive regulating procurement within the Faculty. Within 30 calendar days of the end of the project, the grant administrator shall hand over the documents to the lead department, which shall ensure that they are archived for the period laid down by law or by the terms and conditions of the grant provider, with the exception of documentation relating to public procurement, which shall be handed over by the grant administrator to the procurement department.

## **Article 5: Project application**

1. In the case of an intention to implement project activities with support from public and non-public sources (i.e. to submit a project application for support, to participate in a public R&D competition, or to apply for a public R&D contract), the proposer is obliged to submit a project plan to the dean of the faculty through the relevant department.
2. The project plan, countersigned by the head of the department/workplace concerned, shall be submitted by the proposer at least 21 calendar days before the deadline set by the provider for the submission of project applications (see Annex 1), which deadline may optionally be set by the relevant lead department according to the specific grant/grant title. Failure to meet the deadline may be grounds for rejection of the project plan. Academic staff of the Faculty are informed about the deadline for submission of project applications by means of notification via e-mail or on the websites of the relevant departments.
3. In the case of projects where the project application, the decision to grant support and the start of the project are expected to be submitted in the same calendar year, the proposer is obliged to notify the lead department and the head of the relevant department/workplace by 31 January at the latest (see Annex 1).
4. The notification obligation under Article 5(3) shall apply to projects
  - a. which are expected to be co-financed by the Faculty;
  - b. involving foreign staff who are not yet in an employment relationship with the faculty;
  - c. where it is envisaged to modify the existing employment relationship of the grant administrator or supervisor with the faculty;
  - d. which require the provision of additional study or office space or technical equipment on the Faculty's property in order to successfully achieve the stated objectives.
5. If the project plan is approved, the proposer, in cooperation with the lead department, prepares the project application according to the rules set by the support provider and in accordance with the Faculty's internal regulations.
6. The lead department secures and forwards to the proponent the mandatory annexes to the project application relating to the applicant (e.g. affidavit, power of attorney, ownership structure, etc.).
7. If the project application is submitted via an electronic information system, the promoter is obliged to ensure access for the designated staff member of the lead department.
8. The project application shall be submitted by the proposer through the liaison office for signature by the applicant's representative at least 7 working days before the deadline set by the provider for the submission of project applications, which deadline may be optionally set by the relevant liaison office according to the specific subsidy or grant title. This provision applies even if the authorisation of the project application by the applicant's representative is not required and the lead agency only checks the project application. At the same time as submitting the project application, the applicant shall submit a project budget in the prescribed structure (see Annex 2).

9. In the event that the conditions of the support provider allow it (procurement documentation of a given subsidy/grant, donation, etc.), the proposer is obliged to include in the project costs overhead costs up to the maximum amount set by the directive of the Secretary of the Faculty, which annually determines the amount of faculty overhead for grant and similar projects for a given financial year, or to request the Secretary of the Faculty through the lead department for their individual determination in accordance with this directive.
10. The amount of the project's personnel costs must be determined by the proposer in accordance with the University's internal wage regulations. The personnel costs must take into account the employer's contributions to health and social insurance and social fund contributions, i.e. include the employer's total wage costs.
11. The proposer is obliged to inform the lead department of any requirements for completion of the project application by the provider during the evaluation process. Substantial changes to the project application, especially those affecting the management of the faculty, are approved by the Dean on the basis of the opinion of the Secretary.
12. Every year by 31 October, the lead institutes submit to the Secretary of the Faculty information on the ongoing grant procedures or the evaluation process of projects that are expected to start in the following year if support is granted.

## **Article 6: Project management**

1. Notification of the outcome of the grant procedure, including notification of the award, is sent to the applicant by the lead department. In the case of an award, the lead department shall also inform the Dean of the Faculty/representative of the recipient and the Faculty's economic department. This provision applies by analogy even if the applicant is informed by the provider of the outcome of the grant procedure (i.e. the applicant informs the lead department). In the event of the grant being lower than that requested in the project application, the beneficiary may decide to refuse the grant and to resign from the project.
2. On the basis of the information from the lead department on the provision of support, the Faculty's Economic Department will assign an accounting centre number (variable symbol) to the project. The accounting centre number will be communicated by the lead department to the proposer and to the Faculty's HR and Payroll Department.
3. Through the lead department, the proposer submits a proposal for the conclusion of employment relationships with the members of the project team, including job descriptions, to the Faculty's Personnel and Payroll Department and informs the heads of the departments or departments concerned. In the case of extension of the existing working time to the faculty on the basis of an employment contract (modification of the parameters of the existing employment relationship), the amount of the salary tariff must be in line with the existing salary tariff (an increase in the personal remuneration is permissible). In the case of conclusion of a new employment relationship, the amount of the personal costs shall be governed by the internal salary regulations of the University and the rules laid down by the donor. When entering into employment relationships, the internal rules on maximum concurrent working time within the University must be complied with. The effectiveness of the employment contracts shall be linked to the duration of the project.
4. The positions of the individual members of the project team (grant administrator, expert guarantor, project team member) must be specified in the employment documents. If the conditions of the grant title allow it, an administrative support position with an appropriate level of working time must be provided within the project team (an exception to this provision is approved by the head of the lead department). The proposal to fill the positions shall be submitted by the proposer. The proposal, on which the Head of the Lead Agency issues an opinion, is subject to the approval of the representative of the beneficiary.
5. At the same time as the proposal for the acts of employment, the appellant shall submit to the competent department proposals for the conclusion of further contractual acts in accordance with Article 4(3).
6. Upon receipt of the aid contract or the decision to grant aid, the legal act shall be submitted by the lead department to the proposer for checking and subsequently submitted to the beneficiary's representative for approval and signature.
7. Before the legal act on the provision of support becomes effective, the Faculty's Personnel and Payroll Department submits the processed employment acts in duplicate to the individual members of the project team, who affix their signatures and deliver them back to the Faculty's Personnel and Payroll Department.
8. After the legal act on the provision of support becomes effective, the Faculty's HR and Payroll Department submits the processed employment acts to the recipient's representative for signature. After the recipient's representative has signed the employment documents, the Faculty's HR and Payroll Department shall ensure that one copy of the employment documents is sent to the relevant employees.
9. The grant administrator and the professional guarantor are obliged to provide their signature specimen in the signature specimen book (at the Faculty Dean's Secretariat) within 10 working days after the conclusion of the employment relationship. Copies of the signature specimens shall be forwarded by the grant administrator
  - a. to the lead department and
  - b. to the Faculty's economic department.
10. After the entry into force of the legal act granting the aid, unless otherwise provided for in the binding rules of the aid provider, the lead agency shall submit the other contractual acts referred to in Article 6(5) of this directive to the representative of the beneficiary for signature. As a rule, the legal acts in question are submitted to the beneficiary's representative with the signature of the other contracting party, whose signature is ensured by the proposer/grant administrator. The procedure may optionally be laid down by the competent lead department.
11. Copies of the signed contractual acts referred to in Article 6(10) of this directive, with the exception of employment acts, shall be forwarded by the lead agency to the grant administrator.
12. On a date consistent with the effective date of the legal act granting the aid, the project is launched.

13. The grant administrator is responsible for the implementation of the project within the scope of Article 2(13) of this directive. The professional guarantor shall be responsible for the professional standard of the project as referred to in Article 2(14) of this directive.
14. The grant administrator, through the lead department, submits all documents requiring a signature to the beneficiary's representative for signature. Reports on the implementation of the project, within the scope of the provisions of Article 4(5) of this directive, shall be submitted by the grant administrator to the beneficiary's representative for approval even if his signature is not required by the provider.
15. Following the same procedure as in Article 6(14), the grant administrator shall inform the beneficiary's representative of substantial changes to the project, relating in particular to the budget, expected results, timetable, etc., and of risks and threats to the successful achievement of the project's objectives.
16. Within 30 calendar days of the commencement of the project, the grant administrator shall submit to the Procurement Department a procurement plan prepared in accordance with the Dean's directive regulating the procurement procedure within the Faculty.
17. If the Science and Research Department is not the lead department for the research project in question, the grant administrator will forward the requested information on the project to that department within 30 calendar days of the start of the project. The S&R department will ensure that the information is entered into the University's IS Science, GAP module.
18. In the course of the research project, the expert guarantor enters data on the achieved research results into the IS Science of the University, OBD module.
19. Entering data into the IS Science of the University is governed by the Rector's directive regulating the registration of creative activities at the University.
20. If the output of the project is the publication of a publication (in the field of science and research, result type "B"), the grant administrator is obliged to submit one copy to the faculty library and one copy to the science and research department within the time limit set by the binding rules for the provision of support against confirmation. He/she shall only provide the grantor with a copy if this obligation is stipulated in the binding conditions for the grant. This provision applies by analogy even if the publication is published after the project has been completed.
21. The project is completed in accordance with the rules laid down by the project provider within the set time limit, i.e. by fulfilling the obligations arising from the legal act on the provision of support. Unless the content of the final report is required by the provider, the grant administrator, through the lead agency, shall submit a brief report on the results of the project to the beneficiary's representative at least 30 days before the end of the project. The report shall include, inter alia, a proposal for the use of the project results, including possible use in subsequent project activities.
22. If the project is evaluated by the funder after the end of the project, the grant administrator and the expert guarantor are obliged to deal with any requirements of the funder, even after the end of the working relationship related to the project. The provision also applies to the sustainability of the project, if required by the funder.

## **Article 7: Management of the grant**

1. The management of the grant is governed by generally binding legal regulations, internal regulations of the University and the Faculty and binding rules set by the provider in the legal act on the provision of support and the rules of the grant title. The grant administrator is obliged to familiarise himself with these regulations and to comply with them. To the extent appropriate, the grant administrator must also make these rules known to the other members of the project team.
2. The grant administrator is responsible for the management of the grant. The management control of the grant's revenue and expenditure operations within the meaning of the Financial Control Act is carried out by the persons responsible for the operation and the budget manager. The Faculty's Chief Economist is responsible for the proper maintenance of accounting records.
3. A member of the project team, usually the grant administrator, performs the function of the principal of the operation on the basis of a written mandate from the Dean of the Faculty.
4. The function of budget administrator is performed by a senior employee, usually the head of the relevant department, on the basis of a written mandate from the Dean of the Faculty.
5. The competences of the authorising officer and the budget administrator under the provisions of Article 7(2) and the processes related to the performance of their functions are regulated by the directive of the Dean, which regulates the conditions of the internal control system within the Faculty.
6. The grant funds can be disbursed once the financial support has been credited to the beneficiary's bank account. The Faculty's Economic Department, the grant administrator and the relevant supervising department are informed without delay of the crediting of the funds to the recipient's bank account.
7. In the event that the grant funds are not credited to the beneficiary's account by the deadline set by the provider for the eligibility of project costs, it is possible to start drawing on personal costs after prior discussion with the Faculty Secretary through the lead department. The Secretary will decide on the possible drawdown of personal costs taking into account the budgetary possibilities of the Faculty.
8. The grant administrator is obliged to disburse the grant funds evenly throughout the calendar year, according to the financial plan approved by the grant provider. Within the deadline set annually by the Dean's directive for submitting documents for the final accounting of accounting transactions and for carrying out an inventory at the Faculty, the

- grant administrator shall submit to the Secretary of the Faculty, through the lead department, an overview of the grant disbursement in a given calendar year, including a proposal for the transfer of undisbursed funds to the following year.
9. The relevant part of the funds for the payment of the faculty's overheads is transferred from the project's accounting centre in a predetermined amount and within the timeframe(s) set by the relevant lead department or the faculty secretary. In this case, the role of authorising officer is performed by the Secretary and the role of budget manager by the Chief Economist.
  10. The procurement of supplies and services for the needs of the project is authorised by the grant administrator in accordance with the procedures and financial limits set out in the Dean's directive laying down the procedure for procurement within the Faculty; within this defined scope, the grant administrator performs the role of the contracting unit.
  11. Procurement of supplies and services in excess of the authorisation set out in Article 7(10) shall be carried out by the Faculty Procurement Department in accordance with the Dean's directive laying down the procedure for procurement within the Faculty, based on the request and cooperation of the Grant Administrator.
  12. The grant administrator is not authorised to conclude public supply and service contracts. In accordance with Article 4(3), it shall submit draft contractual acts to the persons responsible for carrying out the management checks referred to in Article 7(2) and subsequently to the representative of the beneficiary for approval and signature.
  13. The grant administrator is authorised to issue and sign purchase orders for supplies and services if the financial value of the subject of performance is CZK 50 000 excluding VAT or less, subject to compliance with the management control procedures under Article 7(2). Above that amount, the financial value of the subject of the transaction shall be as set out in Article 4(3).
  14. The request for a financial advance for the payment of goods and services shall be submitted by the grant administrator to the Head of the Faculty's Economic Department, after the prior financial control referred to in Article 7(2) of this Measure, within 10 calendar days before the date of the financial advance. The request shall include the amount of the advance, the identification of the beneficiary (in the case of a non-cash grant, also the bank account number to which the advance will be transferred) and the specification of the goods and services.
  15. The financial advance is provided in cash or non-cash form by the Faculty's economic department upon request to the designated employee.
  16. Cash payments can be made up to CZK 10,000 including VAT.
  17. The statement of the financial advance is submitted by the employee (the person with the financial advance) to the Faculty's economic department.
  18. Cash expenditures for book purchases will be reimbursed to the employee only after registration with the faculty library, which will confirm receipt on the appropriate receipt.
  19. The reimbursement for the business trip will be granted to the staff member concerned (project team member) after the financial control according to Article 7(2) has been carried out and approved by the grant administrator, who confirms the compliance of the business trip with the project conditions by his/her signature on the travel voucher/business trip invoice (the grant administrator's business trip is approved by the head of the lead department). The organisation of working trips and the provision of travel allowances are governed by the Secretary's directive on the provision of travel allowances for working trips of Faculty staff and the Secretary's directive laying down the rules for the provision of travel allowances to persons who are not Faculty staff.
  20. The grant administrator keeps records of orders issued or received, invoices received or issued, contracts concluded (economic expenditure and revenue operations) and other accounting documents, copies of which are kept together with other project documentation for the duration of the project.
  21. The grant administrator maintains and regularly updates (at least once every 30 calendar days) the internal accounting records of the project, the so-called cash flow. The internal accounting records shall be kept in a binding electronic form, which shall be provided to the grant administrator by the relevant lead department together with the notification of the positive outcome of the grant procedure. The financial plan in the internal accounting records must be drawn up at the date of the start of the project. The internal accounting records shall be submitted by the grant administrator to the lead agency, the budget manager, the chief economist and the secretary on request.
  22. The grant administrator maintains documentation for each procurement in accordance with the Dean's directive on procurement procedures within the Faculty.
  23. The lead agency shall forward to the grant administrator the income and expenditure plan of the project's accounting centre by the 15th day of each calendar month.
  24. The grant funds provided for the project must be exhausted no later than the project completion date or the financial closure date of the project.

## **Article 8: Transitional and final provisions**

1. This directive cancels the validity of the Directive of the Vice-Dean for Science and Research of the Faculty of Humanities of Charles University No.1/2009: Submission of Grant Projects at FH CU.
2. The following annexes form an integral part of this directive:
  - a. Annex 1: Project proposal form
  - b. Annex 2: Project line budget form
3. This directive shall enter into force on the date of signature.
4. This directive shall enter into force:

- a. 1 April 2022 for projects implemented within the framework of the Faculty's project activities under Article 2(1), the implementation of which will commence on or after the date of entry into force of this directive;
  - b. 1 June 2022 for projects implemented within the framework of the Faculty's project activities under Article 2(1), the implementation of which started before the entry into force of this directive under Article 8(4)(a) (transitional period for the implementation of this directive for projects in the process of implementation).
5. Projects carried out within the framework of the Faculty's project activities as referred to in Article 2(1), the implementation of which started before the entry into force of this directive pursuant to Article 8(4)(a) and which are scheduled to be completed by 30 June 2022, are exempted from the effectiveness of this directive.

Prague, 24 March 2022

**Ing. arch. Mgr. Marie Pětová, Ph.D.**  
*Dean*